

FORM PTO 1390  
(REV 5-95)

US DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER  
208/P502PCTUSTRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. §371U.S. APPLICATION NO.  
(If known, use 37 CFR 1.53)  
NEW **09/214848**International Application No.  
PCT/JP97/02438International Filing Date  
July 14, 1997Priority Date Claimed  
July 15, 1996

## Title of Invention

REMEDIES/PREVENTIVES FOR VIRAL INFECTIONS, PROCESS FOR PREPARING THE SAME, AND METHOD  
FOR PREVENTING/TREATING VIRAL INFECTIONSApplicant(s) For DO/EO/US  
Teruaki SEKINE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. §371(c)(2)). **ATTACHMENT A**
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☒ An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)). **ATTACHMENT B**
9. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

Items 10. to 13. below concern other document(s) or information included:

10. ☒ An Information-Disclosure Statement under 37 CFR 1.97 and 1.98. **ATTACHMENT C**
11. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
12. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
13. ☒ Other items or information: **SMALL ENTITY DECLARATION**

COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

COPY, FINANCE DEPT., 1997  
CHARGE DECLARATION  
TO DEPOSIT ACCT. # 23-0975

COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
NEW

INTERNATIONAL APPLICATION NO.  
PCT/JP97/02438

ATTORNEY'S DOCKET NO.  
1208/P502PCTUS

14. [X] The following fees are submitted

CALCULATIONS

PTO USE ONLY

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

[X] Search Report has been prepared by the EPO or JPO..... \$ 840.00  
[ ] Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$ 970.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

Claims

Number Filed

Number Extra

Rate

Total Claims

-20 =

X \$18.00

\$

Independent Claims

-3 =

X \$78.00

\$

Multiple dependent claim(s) (if applicable)

+ \$260.00

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$840.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed.  
(Note 37 CFR 1.9, 1.27, 1.28)

\$420.00

**SUBTOTAL =**

\$420.00

Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

+

\$

**TOTAL NATIONAL FEE =**

\$420.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +

\$

**TOTAL FEES ENCLOSED =**

\$420.00

Amount to be refunded

\$

Amount to be charged

\$

a. [X] A check in the amount of \$420.00 to cover the above fees is enclosed. A duplicate copy of this form is enclosed.

b. [ ] Please charge my Deposit Account No. 23-0975 in the amount of \$\_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. [ ] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0975. A duplicate copy of this form is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

WENDEROTH, LIND & PONACK, L.L.P.  
2033 K St., N.W., Ste. 800  
Washington, D.C. 20006

Warren M. Cheek, Jr.  
SIGNATURE

Warren M. Cheek, Jr.  
NAME

33,367  
REGISTRATION NUMBER

January 14, 1999

[CHECK NO. 31315]  
[99-0024\*/WMC/1208]

Applicant or Patentee: \_\_\_\_\_  
Serial or Patent No.: \_\_\_\_\_ Atty. Dkt. No.: \_\_\_\_\_  
Filed or Issued: \_\_\_\_\_  
For: REMEDIES/PREVENTIVES FOR VIRAL INFECTIONS, PROCESS FOR PREPARING  
THE SAME, AND METHOD FOR PREVENTING/TREATING VIRAL INFECTIONS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled REMEDIES/PREVENTIVES FOR VIRAL INFECTIONS, PROCESS FOR PREPARING described in THE SAME, AND METHOD FOR PREVENTING/TREATING VIRAL INFECTIONS

☒ (X) the specification filed herewith

☐ ( ) application serial no. \_\_\_\_\_, filed \_\_\_\_\_

☐ ( ) patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☒ (X) no such person, concern, or organization

☐ ( ) persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ ( ) INDIVIDUAL ☐ ( ) SMALL BUSINESS CONCERN ☐ ( ) NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ ( ) INDIVIDUAL ☐ ( ) SMALL BUSINESS CONCERN ☐ ( ) NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ ( ) INDIVIDUAL ☐ ( ) SMALL BUSINESS CONCERN ☐ ( ) NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
TERUAKI SEKINE		
Signature of Inventor <i>Teruaki Sekine</i>	Signature of Inventor	Signature of Inventor
Date January 6, 1999	Date	Date